

00/62/60  
JC836 U.S. PTO  
09/29/00

10-02-00

A

DOCKET NO. : POPT-0004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC836 U.S. PTO  
09/676374  
09/29/00

**In Re Application of:**

**Ernest H. Zerenner, Gilbert A. Segal and  
Gregory James Zerenner**

**Serial No.: Not Yet Assigned**

**Group Art Unit: Not Yet Assigned**

**Filing Date: Herewith**

**Examiner: Not Yet Assigned**

**For: SYSTEM AND METHOD FOR ANALYZING AND SEARCHING FINANCIAL  
INSTRUMENT DATA**

**EXPRESS MAIL LABEL NO: EL531429306US  
DATE OF DEPOSIT: September 29, 2000**

Box  Patent Application  
 Provisional  Design

Assistant Commissioner for Patents  
Washington DC 20231

Sir:

**PATENT APPLICATION TRANSMITTAL LETTER**

Transmitted herewith for filing, please find

A Utility Patent Application under 37 C.F.R. 1.53(b).

It is a continuing application, as follows:

continuation  divisional  continuation-in-part of prior application number  
\_\_\_\_/\_\_\_\_.

A Provisional Patent Application under 37 C.F.R. 1.53(c).

A Design Patent Application (submitted in duplicate).

Including the following:

Provisional Application Cover Sheet.

New or Revised Specification, including pages 1 to 87 containing:

Specification

Claims

Abstract

Substitute Specification, including Claims and Abstract.

The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Since none of those amendments incorporate new matter into the parent application, the present revised Specification also does not include new matter.

The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_, which in turn is a continuation-in-part of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Although the amendments in the parent C-I-P application may have incorporated new matter, since those are the only revisions included in the present application, the present application includes no new matter in relation to the parent application.

A copy of earlier application Serial No. \_\_\_\_\_ Filed \_\_\_\_\_, including Specification, Claims and Abstract (pages 1 - @@), to which no new matter has been added TOGETHER WITH a copy of the executed oath or declaration for such earlier application and all drawings and appendices. Such earlier application is hereby incorporated into the present application by reference.

Please enter the following amendment to the Specification under the Cross-Reference to Related Applications section (or create such a section) : "This Application:  
 is a continuation of  is a divisional of  claims benefit of U.S. provisional Application Serial No. \_\_\_\_\_ filed \_\_\_\_\_

00000000000000000000000000000000

Signed Statement attached deleting inventor(s) named in the prior application.

A Preliminary Amendment.

40 Sheets of  Formal  Informal Drawings.

Petition to Accept Photographic Drawings.

Petition Fee

An  Executed  Unexecuted Declaration or Oath and Power of Attorney.

An Associate Power of Attorney.

An  Executed  Copy of Executed Assignment of the Invention to \_\_\_\_\_

A Recordation Form Cover Sheet.

Recordation Fee - \$40.00.

The prior application is assigned of record to Power Financial Group, Inc.

Priority is claimed under 35 U.S.C. § 119 of Patent Application No. \_\_\_\_\_ filed \_\_\_\_\_ in \_\_\_\_\_ (country).

A Certified Copy of each of the above applications for which priority is claimed:

is enclosed.

has been filed in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_.

An  Executed or  Copy of Executed Earlier Statement Claiming Small Entity Status under 37 C.F.R. 1.9 and 1.27

is enclosed.

has been filed in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_, said status is still proper and desired in present case.

000012624260

Diskette Containing DNA/Amino Acid Sequence Information.

Statement to Support Submission of DNA/Amino Acid Sequence Information.

The computer readable form in this application \_\_\_\_\_, is identical with that filed in Application Serial Number \_\_\_\_\_, filed \_\_\_\_\_. In accordance with 37 CFR 1.821(e), please use the  first-filed,  last-filed or  only computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is  included in the originally-filed specification of the instant application,  included in a separately filed preliminary amendment for incorporation into the specification.

Information Disclosure Statement.

Attached Form 1449.

Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

A copy of Petition for Extension of Time as filed in the prior case.

Appended Material as follows: \_\_\_\_\_

Return Receipt Postcard (should be specifically itemized).

Other as follows: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## FEE CALCULATION:

Cancel in this application original claims \_\_\_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

|  | SMALL ENTITY |           | NOT SMALL ENTITY |      |
|--|--------------|-----------|------------------|------|
|  | RATE         | Fee       | RATE             | Fee  |
| PROVISIONAL APPLICATION  | \$75.00      | \$0       | \$150.00         | \$   |
| DESIGN APPLICATION   | \$155.00     | \$0       | \$310.00         | \$   |
| UTILITY APPLICATIONS BASE FEE  | \$345.00     | \$345.00  | \$690.00         | \$   |
| UTILITY APPLICATION; ALL CLAIMS CALCULATED AFTER ENTRY OF ALL AMENDMENTS |              |           |                  |      |
|  | No. Filed    | No. Extra |                  |      |
| TOTAL CLAIMS   | 10- 20 =     | 0         | \$9 each         | \$0  |
| INDEP. CLAIMS  | 4- 3 =       | 1         | \$39 each        | \$39 |
| FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM                           |              |           | \$260            | \$   |
| ADDITIONAL FILING FEE  |              |           | \$0              | \$   |
| TOTAL FILING FEE DUE   |              |           | \$384.00         | \$   |

A Check is enclosed in the amount of \$ 384.00.

The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to deposit account 23-3050. This sheet is provided in duplicate.

The foregoing amount due.

Any additional filing fees required, including fees for the presentation of extra claims under 37 C.F.R. 1.16.

Any additional patent application processing fees under 37 C.F.R. 1.17 or 1.20(d).

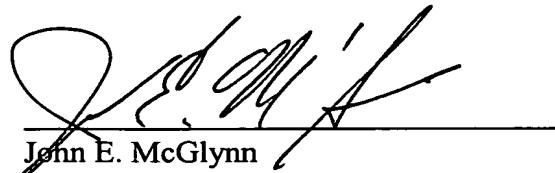
The issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance.

The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-

identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to deposit account 23-3050. This sheet is provided in duplicate.

**SHOULD ANY DEFICIENCIES APPEAR** with respect to this application, including deficiencies in payment of fees, missing parts of the application or otherwise, the United States Patent and Trademark Office is respectfully requested to promptly notify the undersigned.

Date: *September 29, 2000*



John E. McGlynn  
Registration No. 42,863

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

© 1997 WWKMN

DOCKET NO. : POPT-0004